

# Exhibit 1



## Brokerage Firm Summary

### UBS SECURITIES LLC

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CRD# 7654 SEC# 8-22651



Brokerage Firm



Former Investment Adviser Firm

## Disclosure Events ?

This firm has disclosure events. See [detailed report](#) for more information.

Type	Count
Regulatory Event	215
Civil Event	3
Arbitration	3

## Firm Profile ?

Main Office Location	Mailing Address	Business Telephone Number
1285 AVENUE OF THE AMERICAS NEW YORK, NY 10019	677 WASHINGTON BOULEVARD STAMFORD, CT 06901	203-719-3000

Regulated by the FINRA New York district office.

### This firm is registered with:

- the SEC
- 18 Self-Regulatory Organizations
- 52 U.S. states and territories:

- |                        |                 |                  |
|------------------------|-----------------|------------------|
| • Alabama              | • Louisiana     | • Oklahoma       |
| • Alaska               | • Maine         | • Oregon         |
| • Arizona              | • Maryland      | • Pennsylvania   |
| • Arkansas             | • Massachusetts | • Puerto Rico    |
| • California           | • Michigan      | • Rhode Island   |
| • Colorado             | • Minnesota     | • South Carolina |
| • Connecticut          | • Mississippi   | • South Dakota   |
| • Delaware             | • Missouri      | • Tennessee      |
| • District of Columbia | • Montana       | • Texas          |

- Florida
- Georgia
- Hawaii
- Idaho
- Illinois
- Indiana
- Iowa
- Kansas
- Kentucky
- Nebraska
- Nevada
- New Hampshire
- New Jersey
- New Mexico
- New York
- North Carolina
- North Dakota
- Ohio
- Utah
- Vermont
- Virginia
- Washington
- West Virginia
- Wisconsin
- Wyoming

**Firm Operations:**

- This firm conducts 13 types of businesses.
- This firm is affiliated with financial or investment institutions.
- This firm does not have referral or financial arrangements with other brokers or dealers.
- This firm is classified as a Limited Liability Company.
- This firm was formed in Delaware on 06/29/1998.
- Its fiscal year ends in December.



## Brokerage Firm Summary

### RBS SECURITIES INC.

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CRD# 11707 SEC# 8-37135

Brokerage Firm

## Disclosure Events ?

This firm has disclosure events. See [detailed report](#) for more information.

Type	Count
Regulatory Event	30
Civil Event	34

## Firm Profile ?

Main Office Location	Mailing Address	Business Telephone Number
600 WASHINGTON BOULEVARD STAMFORD, CT 06901	600 WASHINGTON BOULEVARD STAMFORD, CT 06901	203-897-2700

Regulated by the FINRA Boston district office.

### This firm is registered with:

- the SEC
- 2 Self-Regulatory Organizations
- 49 U.S. states and territories:

- |                        |                 |                  |
|------------------------|-----------------|------------------|
| • Alabama              | • Louisiana     | • Oklahoma       |
| • Alaska               | • Maryland      | • Oregon         |
| • Arizona              | • Massachusetts | • Pennsylvania   |
| • Arkansas             | • Michigan      | • Rhode Island   |
| • California           | • Minnesota     | • South Carolina |
| • Colorado             | • Mississippi   | • South Dakota   |
| • Connecticut          | • Missouri      | • Tennessee      |
| • Delaware             | • Montana       | • Texas          |
| • District of Columbia | • Nebraska      | • Utah           |
| • Florida              | • Nevada        | • Vermont        |
| • Georgia              | • New Hampshire | • Virginia       |

- Idaho
- Illinois
- Indiana
- Iowa
- Kansas
- Kentucky
- New Jersey
- New Mexico
- New York
- North Carolina
- North Dakota
- Ohio
- Washington
- West Virginia
- Wisconsin
- Wyoming

**Firm Operations:**

- This firm conducts 12 types of businesses.
- This firm is affiliated with financial or investment institutions.
- This firm does not have referral or financial arrangements with other brokers or dealers.
- This firm is classified as a Corporation.
- This firm was formed in Delaware on 11/07/1985.
- Its fiscal year ends in December.



## Brokerage Firm Summary

### DEUTSCHE BANK SECURITIES INC.

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CRD# 2525 SEC# 8-17822

- ✓ Brokerage Firm
- ✓ Investment Adviser Firm

## Disclosure Events ?

This firm has disclosure events. See [detailed report](#) for more information.

Type	Count
Regulatory Event	206
Civil Event	2
Arbitration	12

## Firm Profile ?

Main Office Location	Mailing Address	Business Telephone Number
60 WALL STREET NEW YORK, NY 10005	60 WALL STREET NYC60-3712 NEW YORK, NY 10005	212-250-2500

Regulated by the FINRA New York district office.

### This firm is registered with:

- the SEC
- 18 Self-Regulatory Organizations
- 53 U.S. states and territories:

- |                        |                 |                  |
|------------------------|-----------------|------------------|
| • Alabama              | • Louisiana     | • Oklahoma       |
| • Alaska               | • Maine         | • Oregon         |
| • Arizona              | • Maryland      | • Pennsylvania   |
| • Arkansas             | • Massachusetts | • Puerto Rico    |
| • California           | • Michigan      | • Rhode Island   |
| • Colorado             | • Minnesota     | • South Carolina |
| • Connecticut          | • Mississippi   | • South Dakota   |
| • Delaware             | • Missouri      | • Tennessee      |
| • District of Columbia | • Montana       | • Texas          |
| • Florida              | • Nebraska      | • Utah           |

- Georgia
- Hawaii
- Idaho
- Illinois
- Indiana
- Iowa
- Kansas
- Kentucky
- Nevada
- New Hampshire
- New Jersey
- New Mexico
- New York
- North Carolina
- North Dakota
- Ohio
- Vermont
- Virgin Islands
- Virginia
- Washington
- West Virginia
- Wisconsin
- Wyoming

**Firm Operations:**

- This firm conducts 16 types of businesses.
- This firm is affiliated with financial or investment institutions.
- This firm does not have referral or financial arrangements with other brokers or dealers.
- This firm is classified as a Corporation.
- This firm was formed in Delaware on 12/29/1971.
- Its fiscal year ends in December.



## Brokerage Firm Summary

### CITIGROUP GLOBAL MARKETS INC.

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CRD# 7059 SEC# 8-8177

- ✓ Brokerage Firm
- ✓ Investment Adviser Firm

## Disclosure Events ?

This firm has disclosure events. See [detailed report](#) for more information.

Type	Count
Regulatory Event	408
Civil Event	4
Arbitration	792

## Firm Profile ?

Main Office Location	Mailing Address	Business Telephone Number
390 - 388 GREENWICH STREET NEW YORK, NY 10013-2396	REGISTRATION DEPARTMENT ONE COURT SQUARE 19TH FLOOR LONG ISLAND CITY, NY 11120	212-816-6000

Regulated by the FINRA New York district office.

### This firm is registered with:

- the SEC
- 14 Self-Regulatory Organizations
- 53 U.S. states and territories:
  - Alabama
  - Alaska
  - Arizona
  - Arkansas
  - California
  - Colorado
  - Louisiana
  - Maine
  - Maryland
  - Massachusetts
  - Michigan
  - Minnesota
  - Oklahoma
  - Oregon
  - Pennsylvania
  - Puerto Rico
  - Rhode Island
  - South Carolina



- Connecticut
- Delaware
- District of Columbia
- Florida
- Georgia
- Hawaii
- Idaho
- Illinois
- Indiana
- Iowa
- Kansas
- Kentucky
- Mississippi
- Missouri
- Montana
- Nebraska
- Nevada
- New Hampshire
- New Jersey
- New Mexico
- New York
- North Carolina
- North Dakota
- Ohio
- South Dakota
- Tennessee
- Texas
- Utah
- Vermont
- Virgin Islands
- Virginia
- Washington
- West Virginia
- Wisconsin
- Wyoming

**Firm Operations:**

- This firm conducts 25 types of businesses.
- This firm is affiliated with financial or investment institutions.
- This firm has referral or financial arrangements with other brokers or dealers.
- This firm is classified as a Corporation.
- This firm was formed in New York on 10/15/1998.
- Its fiscal year ends in December.



## Brokerage Firm Summary

### BARCLAYS CAPITAL INC.

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CRD# 19714 SEC# 8-41342

- ✓ Brokerage Firm
- ✓ Investment Adviser Firm

## Disclosure Events ?

This firm has disclosure events. See [detailed report](#) for more information.

Type	Count
Regulatory Event	42

## Firm Profile ?

Main Office Location	Mailing Address	Business Telephone Number
745 7TH AVENUE NEW YORK, NY 10019	745 7TH AVENUE NEW YORK, NY 10019	212-526-7000

Regulated by the FINRA New York district office.

### This firm is registered with:

- the SEC
- 18 Self-Regulatory Organizations
- 53 U.S. states and territories:
  - Alabama
  - Alaska
  - Arizona
  - Arkansas
  - California
  - Colorado
  - Connecticut
  - Delaware
  - District of Columbia
  - Florida
  - Georgia
  - Hawaii
  - Louisiana
  - Maine
  - Maryland
  - Massachusetts
  - Michigan
  - Minnesota
  - Mississippi
  - Missouri
  - Montana
  - Nebraska
  - Nevada
  - New Hampshire
  - Oklahoma
  - Oregon
  - Pennsylvania
  - Puerto Rico
  - Rhode Island
  - South Carolina
  - South Dakota
  - Tennessee
  - Texas
  - Utah
  - Vermont
  - Virgin Islands

- Idaho
- Illinois
- Indiana
- Iowa
- Kansas
- Kentucky
- New Jersey
- New Mexico
- New York
- North Carolina
- North Dakota
- Ohio
- Virginia
- Washington
- West Virginia
- Wisconsin
- Wyoming

**Firm Operations:**

- This firm conducts 25 types of businesses.
- This firm is affiliated with financial or investment institutions.
- This firm does not have referral or financial arrangements with other brokers or dealers.
- This firm is classified as a Corporation.
- This firm was formed in Connecticut on 03/30/1998.
- Its fiscal year ends in December.



### Brokerage Firm Summary

## MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED

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CRD# 7691 SEC# 8-7221

- ✓ Brokerage Firm
- ✓ Investment Adviser Firm

### Disclosure Events ?

This firm has disclosure events. See [detailed report](#) for more information.

Type	Count
Regulatory Event	468
Civil Event	6
Arbitration	996

### Firm Profile ?

Main Office Location	Mailing Address	Business Telephone Number
ONE BRYANT PARK NEW YORK, NY 10036	222 BROADWAY NY3-222-12-05 NEW YORK, NY 10038	800-637-7455

Regulated by the FINRA New York district office.

#### This firm is registered with:

- the SEC
- 18 Self-Regulatory Organizations
- 53 U.S. states and territories:
  - Alabama
  - Alaska
  - Arizona
  - Arkansas
  - California
  - Colorado
  - Connecticut
- Louisiana
- Maine
- Maryland
- Massachusetts
- Michigan
- Minnesota
- Mississippi
- Oklahoma
- Oregon
- Pennsylvania
- Puerto Rico
- Rhode Island
- South Carolina
- South Dakota

- Delaware
- District of Columbia
- Florida
- Georgia
- Hawaii
- Idaho
- Illinois
- Indiana
- Iowa
- Kansas
- Kentucky
- Missouri
- Montana
- Nebraska
- Nevada
- New Hampshire
- New Jersey
- New Mexico
- New York
- North Carolina
- North Dakota
- Ohio
- Tennessee
- Texas
- Utah
- Vermont
- Virgin Islands
- Virginia
- Washington
- West Virginia
- Wisconsin
- Wyoming

**Firm Operations:**

- This firm conducts 23 types of businesses.
- This firm is affiliated with financial or investment institutions.
- This firm has referral or financial arrangements with other brokers or dealers.
- This firm is classified as a Corporation.
- This firm was formed in Delaware on 11/10/1958.
- Its fiscal year ends in December.